



GP 3731  
#4

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of: Timothy Girton et al.  
Application No.: 10/042,634  
Filed: January 9, 2002  
For: SciMed Life Systems, Inc.  
Examiner: not assigned yet  
Group Art Unit: 3731

Commissioner for Patent  
Washington, D.C. 20231

Docket No.: S63.240106

RECEIVED  
APR 23 2002

TECHNOLOGY CENTER R3700

TRANSMITTAL LETTER

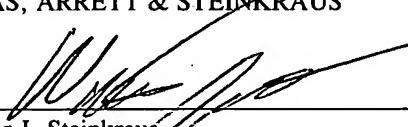
1. In regard to the above-identified application, we are submitting the attached:  
**4 pgs. IDS, 18 pages 1449 Form, 4 references, VAS transmittal and postcard**
2. With respect to fees:  
 No additional fee is required.  
 Attached is check(s) in the amount of \$  
 Charge additional fee to our Deposit Account No. 22-0350.

3. **CONDITIONAL PETITION FOR EXTENSION OF TIME**

This conditional petition is being filed along with the papers identified in Item 1 above and provides for the possibility that Applicant has inadvertently overlooked the need for a petition and fee for extension of time or for a petition and fee for any other matter petitionable to the Commissioner as required. If any extension of time for the accompanying response is required or if a petition for any other matter is required, by petitioner, Applicant requests that this be considered a petition therefor.

4. Notwithstanding paragraph 2 above, if any additional fees associated with this communication are required and have not otherwise been paid, including any fee associated with the Conditional Petition for Extension of Time, or any request in the accompanying papers for action which requires a fee as a petition to the Commissioner, please charge the additional fees to Deposit Account No. 22-0350. Please charge any additional fees or credit overpayment associated with this communication to the Deposit Account No. 22-0350.

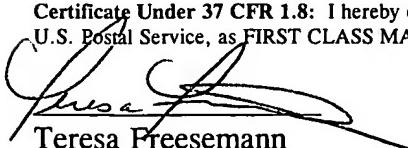
VIDAS, ARRETT & STEINKRAUS

By:   
Walter J. Steinkraus  
Registration No. 29,592

Date: 04/05/2002

6109 Blue Circle Drive, Suite 2000  
Minnetonka, MN 55343-9185  
Telephone: (952) 563-3000  
Facsimile: (952) 563-3001

Certificate Under 37 CFR 1.8: I hereby certify that this Transmittal Letter and the paper(s) as described herein, are being deposited in the U.S. Postal Service, as FIRST CLASS MAIL, addressed to Commissioner for Patents, Washington D.C. 20231, on April 5, 2002.

  
Teresa Preesemann



# 4

## PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**In Re Application of:** Timothy Girton et al.  
**Application No.:** 10/042,634  
**Filed:** January 09,2002  
**For:** SciMed Life Systems, Inc  
**Examiner:** Not Assigned yet  
**Group Art Unit:** 3731

RECEIVED  
APR 23 2002

TECHNOLOGY CENTER R3700

Commissioner for Patent  
Washington, D.C. 20231

Docket No.: S63.2-10106

## INFORMATION DISCLOSURE STATEMENT

Listed below or on an attached Form PTO-1449 and/or a copy of a PTO-892 form is information known to applicant(s). A copy of each listed publication, U.S. patent, foreign patent and U.S. patent application is being submitted herewith, along with a concise explanation of information in a foreign language, if any, pursuant to 37 C.F.R. §1.97-1.98, *except that* U.S. applications from which priority is claimed under 35 U.S.C. §120, and documents cited in such priority applications, may be omitted from the enclosures pursuant to 37 C.F.R. 1.98(d). Applicant's submission of copies of U.S. applications does not constitute a waiver of the confidentiality of such applications. As such, **Applicant requests that any copies of unpublished US applications submitted herewith be excluded from the file wrapper pursuant to 37 C.F.R. §1.14.**

Applicants respectfully request that the listed information be considered by the Examiner and be made of record in the above-identified application. If form PTO-1449 or PTO-892 from a prior application is enclosed, the Examiner is requested to initial and return it in accordance with MPEP §609.

This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, material to patentability as defined in §1.56.

**Information Disclosure Statement**

**Application No.10/042,634**

**Page 2**

Applications that are listed on the accompanying modified form 1449 as related by priority are related by priority claim under 35 USC §120. Pursuant to 37 CFR §1.98(d), no copies of cited art in a previous application(s) to which priority was claimed need be submitted. Applicant is providing copies of the 1449 and/or 892 forms from these cases.

X I. This statement qualifies as a no-fee Information Disclosure Statement under 37 C.F.R. §1.97(b) or otherwise because to the knowledge of the undersigned attorney it is being filed (check all that apply):

- (1) within 3 months of the filing date of the application (other than a CPA); or
- (2) within 3 months of entry of the national stage; or
- (3) before the mailing of a first Office Action on the merits;
- (4) before the mailing of a first Office Action after the filing of a request for continued examination (RCE) under §1.114;
- (5) as part of a continued prosecution application (CPA); or
- (6) during the period of a suspension of action for a CPA under 37 C.F.R. §1.103(b).

       II. This statement is believed to require a fee or the submission of a certification under 37 C.F.R. §1.97 (c) or otherwise. If this statement is being filed after the latest of: (1) three months beyond the filing date of a national application (other than CPA); (2) three months beyond the date of entry of the national stage as set forth in §1.491 in an international application; (3) the mailing of a first Office Action on the merits; (4) the mailing of a first Office Action after the filing of a request for continued examination under §1.114; or (5) after the filing of a request for a continued prosecution application, but before the mailing date of the earlier of a final office action under §1.113, a notice of allowance under §1.311 or an action that otherwise closes prosecution in the application, then:

- (1) a certification as specified in §1.97(e) is provided below; or
- (2) a fee of \$180.00 as set forth in §1.17(p) is authorized below, enclosed, or

***Information Disclosure Statement***

***Application No.10/042,634***

***Page 3***

included with the payment of other papers filed together with this statement.

III. *37 C.F.R. §1.97(d).* If this statement is being filed after the mailing date of the earlier of a final office action under §1.113, a notice of allowance under §1.311, or an action that otherwise closes prosecution in the application, but before payment of the issue fee, then:

- (1) a certification as specified in §1.97(e) is completed below; and
- (2) a fee of \$180.00 as set forth in §1.17(p) is authorized below, enclosed, or included with payment of other papers filed together with this statement.

X *IV. Fee Authorization.* If any fee is due for consideration of this Information Disclosure Statement and full payment has not been submitted herewith, regardless of which boxes have been checked above, the Commissioner is hereby authorized to charge any additional fees associated with this communication to Deposit Account No. 22-0350. The Commissioner is hereby authorized to credit any overpayment associated with this communication to Deposit Account No. 22-0350.

***If paragraph II.1 or III is checked, also check one of the paragraphs below***

       I hereby certify, under 37 CFR §1.97(e)(1), that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the date of the filing of this information disclosure statement.

       I hereby certify, under 37 CFR §1.97(e)(2), that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

***For the purpose of this certification, Applicant considers the PCT International Search Authority***

**Information Disclosure Statement  
Application No.10/042,634  
Page 4**

*to constitute a foreign patent office.*

If this Information Disclosure Statement has been submitted without the appropriate box checked, Applicant requests that this Information Disclosure Statement be considered nevertheless if it is timely submitted under any of the provisions of 37 C.F.R. §1.97 or otherwise.

Finally, if any petition is necessary to ensure consideration of this Information Disclosure Statement, Applicant requests that this be treated as such a petition.

Respectfully submitted,

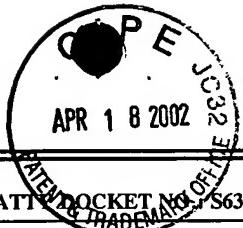
VIDAS, ARRETT & STEINKRAUS, P.A.

Date: 04/09/2002

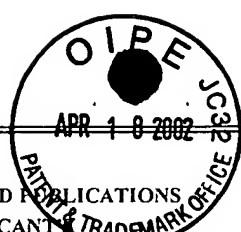
By: 

Walter J. Steinkraus  
Registration No. 29,592

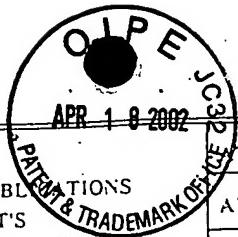
Suite 2000  
6109 Blue Circle Drive  
Minnetonka, MN 55343-9185  
Telephone: (952) 563-3000  
Facsimile: (952) 563-3001  
F:\WPWORK\FORMS\IDS-FRM.B06



FORM PTO-1449 (Modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)		ATTACHMENT PATENT & TRADEMARK OFFICE S63.2-10106		APPLICATION NO.: 10/042,634																																																																							
		APPLICANT: Timothy S. Girton et al.																																																																									
		FILING DATE: 01/09/2002		GROUP: 3731																																																																							
<b>REFERENCE DESIGNATION</b> <b>U.S. PATENT AND PUBLISHED APPLICATION DOCUMENTS</b> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>EXAM'S INIT.</th> <th></th> <th>DOCUMENT NUMBER</th> <th>DATE</th> <th>NAME</th> <th>CLASS/ SUBCLASS</th> <th>FILING DATE IF APPROPRIATE</th> </tr> </thead> <tbody> <tr><td></td><td>AA</td><td>5,916,263</td><td>06/29/1999</td><td>Goicoechea et al</td><td>623/1</td><td>06/13/96</td></tr> <tr><td></td><td>AB</td><td>5,569,295</td><td>10/29/1996</td><td>Lam</td><td>606/198</td><td>05/31/95</td></tr> <tr><td></td><td>AC</td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td>AD</td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td>AE</td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td>AF</td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td>AG</td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td>AH</td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td>AI</td><td></td><td></td><td></td><td></td><td></td></tr> </tbody> </table>						EXAM'S INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS/ SUBCLASS	FILING DATE IF APPROPRIATE		AA	5,916,263	06/29/1999	Goicoechea et al	623/1	06/13/96		AB	5,569,295	10/29/1996	Lam	606/198	05/31/95		AC							AD							AE							AF							AG							AH							AI					
EXAM'S INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS/ SUBCLASS	FILING DATE IF APPROPRIATE																																																																					
	AA	5,916,263	06/29/1999	Goicoechea et al	623/1	06/13/96																																																																					
	AB	5,569,295	10/29/1996	Lam	606/198	05/31/95																																																																					
	AC																																																																										
	AD																																																																										
	AE																																																																										
	AF																																																																										
	AG																																																																										
	AH																																																																										
	AI																																																																										
<b>FOREIGN PATENT DOCUMENTS</b> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th></th> <th></th> <th>DOCUMENT NUMBER</th> <th>DATE</th> <th>COUNTRY</th> </tr> </thead> <tbody> <tr><td></td><td>BA</td><td>00/30563 WO</td><td>06/02/00</td><td>WO</td></tr> <tr><td></td><td>BB</td><td>96/26689 WO</td><td>09/06/96</td><td>WO</td></tr> <tr><td></td><td>BC</td><td></td><td></td><td></td></tr> </tbody> </table>								DOCUMENT NUMBER	DATE	COUNTRY		BA	00/30563 WO	06/02/00	WO		BB	96/26689 WO	09/06/96	WO		BC																																																					
		DOCUMENT NUMBER	DATE	COUNTRY																																																																							
	BA	00/30563 WO	06/02/00	WO																																																																							
	BB	96/26689 WO	09/06/96	WO																																																																							
	BC																																																																										
<b>OTHER ART. (Including Author, Title, Date, Pertinent Pages, Etc.)</b> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td rowspan="2">CA</td> <td></td> <td></td> <td colspan="3"></td> </tr> <tr> <td></td> <td></td> <td colspan="3"></td> </tr> <tr> <td rowspan="3">CB</td> <td></td> <td></td> <td colspan="3"></td> </tr> <tr> <td></td> <td></td> <td colspan="3"></td> </tr> <tr> <td></td> <td></td> <td colspan="3"></td> </tr> </table>						CA											CB																																																										
CA																																																																											
CB																																																																											
EXAMINER		DATE CONSIDERED																																																																									
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.																																																																											



FORM PTO-1449 (Modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S TRADEMARK OFFICE INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)		ATTY DOCKET NO.: S63.2-10106		APPLICATION NO.:	
		APPLICANT: Timothy S. Girton			
		FILING DATE: January 9, 2002		GROUP:	
REFERENCE DESIGNATION		U.S. PATENT AND PUBLISHED APPLICATION DOCUMENTS			
EXAMINER'S INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS/ SUBCLASS
	AA	5,091,205			
	AB	5,824,046			
	AC	5,755,770			
	AD	6,123,712			
	AE	6,120,522			
	AF	5,957,930			
	AG				
	AH				
	AI				
	AJ				
	AK				
	AL				
FOREIGN PATENT DOCUMENTS					
		DOCUMENT NUMBER	DATE	COUNTRY	
	BA				
	BB				
	BC				
	BD				
	BE				
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)					
	CA				
	CB				
	CC				
EXAMINER			DATE CONSIDERED		
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.					



FORM PTO-1449 (Modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)				ENTRY DOCKET NO.: S63.2-6769		SERIAL NO.: 09/197,278	
				APPLICANT: Brian J. Brown et al.			
				FILING DATE: November 20, 2000		GROUP: 3731	
REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS					
EXAMINER'S INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,836,966	11/17/98	St. Germain	606	198	
	AB	5,938,697	8/17/99	Killion et al.	623	1	
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
RELATED APPLICATIONS							
		APPLICATION NO.	FILING DATE	INVENTOR(S)	RECEIVED APR 23 2002		
					APR 23 2002		
	BA						
	BB						
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION
							YES
	CA						NO
	CB						
	CC						
	CD						
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)							
	DA						
	DB						
	DC						
EXAMINER			DATE CONSIDERED				
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							

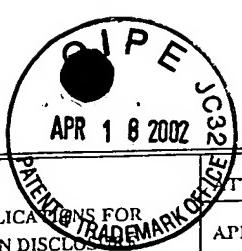
FORM PTO-1449 (Modified)			ATTY DOCKET NO.: S63.2-6769	APPLICATION NO.: 09/197,278
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)			APPLICANT: Brian J. Brown et al.	
			FILING DATE: November 20, 1998	GROUP: 3731

REFERENCE DESIGNATION		U.S. PATENT AND PUBLISHED APPLICATION DOCUMENTS			
EXAM'S INIT.	DOCUMENT NUMBER	DATE	NAME	CLASS/ SUBCLASS	FILING DATE IF APPROPRIATE
AA	6,068,656	5/30/00	Von Oepen	623/1.17	
AB	6,129,755	10/10/00	Mathis et al.	623/1.15	
AC					
AD					
AE					
AF					
AG					
AH					
AI					
AJ					
AK					
AL					

FOREIGN PATENT DOCUMENTS				
	DOCUMENT NUMBER	DATE	COUNTRY	
BA				
BB				
BC				
BD				
BE				

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)				
	CA		SMART <sup>TM</sup> Stent Brochure, Cordis, a Johnson & Johnson company, date unknown.	
	CB			
	CC			

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	



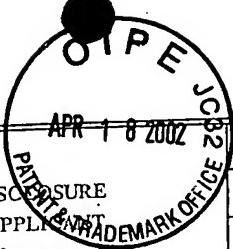
FORM PTO-1449 (Modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)		ATTY DOCKET NO: S63.2-6769	Application No: 09/197,278
		APPLICANT: Brian J. Brown et al.	
		FILING DATE: November 20, 1998	GROUP: 3738

REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS			CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
EXAM'S INIT.	DOCUMENT NUMBER	DATE	NAME				
AA	5,591,197	1/7/97	Orth et al.	606	198		
AB	5,697,971	12/16/97	Fischell et al.	623	1		
AC	5,718,713	2/17/98	Frantzen	606	198		
AD	5,735,893	4/7/98	Lau et al.	623	1		
AE	5,741,327	4/21/98	Frantzenq	623	1		
AF	5,755,776	5/26/98	Al-Saadon	623	1		
AG	5,755,781	5/26/98	Jayaraman	623	1		
AH	5,776,161	7/7/98	Globerman	606	198		
AI	5,776,183	7/7/98	Kanesaka et al.	623	1		
AJ	5,807,404	9/15/98	Richter	623	1		
AK	5,810,872	9/22/98	Kanesaka et al.	606	198		
AL	5,824,059	10/20/98	Wijay	623	1		

FOREIGN PATENT DOCUMENTS					CLASS	SUBCLASS	TRANSLATION YES      NO
	DOCUMENT NUMBER	DATE	COUNTRY				
BA	297 01 758	3/27/97	DE				
BB	297 02 671 U1	4/10/97	DE				
BC	297 08 689 U1	7/17/97	DE				
BD	297 08 879 U1	7/31/97	DE				
BE	0 831 920 A1	2/4/98	EP				

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)			
CA		Beyar et al, "The BeStent; The Parallel-Serial Jang Stents", <i>Handbook of Coronary Stents, Second Edition</i> , 158-171 & 229-234 (1998).	
CB		Beyar et al, "Newer Stents: Materials and Designs", <i>LAGS Proceedings</i> , 9(5): 363-371 (June 1997).	
CC		Roguin et al, "Acute and 30-Day Results of the Serpentine Balloon Expandable Stent Implantation in Simple and Complex Coronary Arterial Narrowings", <i>The American Journal of Cardiology</i> , 80:1155-1162 (November 1997).	
CD		Roguin et al, "beStent-the serpentine balloon expandable stent: review of mechanical properties and clinical experience", <i>Artif Organs</i> , 22(3):243-249 (March 1998).	

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	



FORM PTO-1449 (Modified)

INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT  
(Use several sheets if necessary)

ATTY DOCKET NO: S63.2-6769

Application No: NA

APPLICANT: Brian J. Brown et al.

FILING DATE: November 20, 1998

Group:

## REFERENCE DESIGNATION

## FOREIGN PATENT DOCUMENT OR PUBLISHED FOREIGN PATENT APPLICATION

EXAMINER'S INIT.		DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OF PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	BF	97/04721	2/13/97	WO				
	BG	97/14375	2/24/97	WO				
	BH	97/25937	7/24/97	WO				
	BI	97/32543	9/12/97	WO				
	BJ	97/32544	9/12/97	WO			APR 23 2002	
	BK	97/33534	9/18/97	WO			RECEIVED TECHNOLOGY CENTER R3700	
	BL	97/40780	11/6/97	WO				
	BM	97/40781	11/6/97	WO				
	BN	97/40782	11/6/97	WO				
	BO	97/40783	11/6/97	WO				
	BP	97/40874	11/6/97	WO				
	BQ							
	BR							
	BS							
	BT							
	BU							
	BV							
	BW							
	BX							
	BY							
	BZ							

## DATE CONSIDERED

EXAMINER

EXAMINER: Initial citation considered. Draw line through citation if not in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Page 2 of 2

FORM PTO-1449 (Modified)

INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT  
(Use several sheets if necessary)

ATTY DOCKET NO: S63.2-5605

Serial No: 08/511,076

APR 18 2002

APPLICANT: Brian J. Brown, Michael L. Davis

FILING DATE: August 3, 1995

Group: 3308

## REFERENCE DESIGNATION

PATENT DOCUMENTS					CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
EXAMINER'S INT'L.		PATENT NUMBER	ISSUE DATE	PATENTEE			
	AA	4,553,545	11/19/1985	Mass et al.			
	AB	4,733,665	03/29/1988	Palmaz			
	AC	4,739,762	04/26/1988	Palmaz			
	AD	4,776,337	10/11/1988	Palmaz			
	AE	4,830,003	05/16/1989	Wolff et al.			
	AF	4,856,516	08/15/1989	Hillstead			
	AG	4,886,062	12/12/1989	Wiktor			
	AH	4,913,141	04/03/1990	Hillstead			
	AI	4,994,071	02/19/1991	MacGregor			
	AJ	5,019,090	05/28/1991	Pinchuk			
	AK	5,035,706	07/30/1991	Gianurco et al.			

RECEIVED

APR 23 2002

TECHNOLOGY CENTER R3700

## FOREIGN PATENT DOCUMENT OR PUBLISHED FOREIGN PATENT APPLICATION

		DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OF PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION
							YES NO
	BA	0 606 165 A1	07/13/1994	EPO			X
	BB	0 540 290 A2	05/05/1993	EPO			X
	BC	0 364 787 B1	04/25/1990	EPO			X
	BD	WO 94/17754	08/18/1994	PCT			X
	BE	0 541 443 A1	05/12/1993	EPO			X

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

CA		Manufacturing Processes for Engineering Materials, by Serope Kalpakjian, Illinois Institute of Technology, Addison-Wesley Publishing Company, pp. 340.
CB		A View of Vascular Stents, by Richard A. Schatz, MD, From the Arizona Heart Institute Foundation, Phoenix, Arizona, CIRCULATION, Vol. 79, No. 2, February 1989, pp. 445-457.
CC		The Self-Expanding Mesh Stent, by Ulrich Sigwart, SECTION IV, Chapter 29, pp. 605-610.

EXAMINER

DATE CONSIDERED

EXAMINER: Initial citation considered. Draw line through citation if not in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT  
(Use several sheets if necessary)

APR 18 2002

PATENT &amp; TRADEMARK OFFICE

PATENT DOCKET NO: 561.2-5605

Serial No: 08/511,076

APPLICANT: Brian J. Brown, Michael L. Davis

FILING DATE: August 3, 1995

Group: 3308

## REFERENCE DESIGNATION

## PATENT DOCUMENTS

EXAMINER'S INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,059,211	10/22/1991	Slack et al.			
	AB	5,102,417	04/07/1992	Palinaz			
	AC	5,104,404	04/14/1992	Wolff			
	AD	5,133,732	07/28/1992	Wiktor			
	AE	5,135,536	08/04/1992	Hillshead			
	AF	5,195,984	03/23/1993	Schatz			
	AG	5,197,978	03/30/1993	Hess			
	AH	5,282,823	02/01/1994	Schwartz et al.			
	AI	5,292,331	03/08/1994	Boneau			
	AJ	5,304,200	04/19/1994	Spaulding			
	AK	5,449,373	09/12/1995	Pinchasik et al.			

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION
							YES
	AL	6-4175	03/06/1994	Japan			
	AM						
	AN						
	AO						
	AP						

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	AR		Japanese Infringement Search on Articulated Expandable Stents, Dated July 12, 1995.
	AS		ENGINEERING FLUID MECHANICS, Third Edition, John A. Roberson and Clayton T. Crowe, pp. 94 and pp 414-421
	AT		Cambridge Dictionary of Science and Technology, Cambridge University Press, p. 123

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449 (Modified)		ATTY DOCKET NO: S63.2-5605		Serial No: 08/511,076			
INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)		APPLICANT: Brian J. Brown, Michael L. Davis FILING DATE: August 3, 1995					
				Group: 3308			
REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS					
EXAMINER'S INT'L.		PATENT NUMBER	ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	3,657,744	04/25/1972	Ersek			
	AB	4,141,364	02/27/1979	Schultze			
	AC	4,681,110	07/21/1987	Wiktor			
	AD	4,693,721	09/15/1987	Ducheyne	APR 23 2002		
	AE	4,786,507	09/06/1988	Fischell et al.	TECHNOLOGY CENTER R3700		
	AF	4,769,029	09/06/1988	Patel			
	AG	4,787,899	11/29/1988	Lazarus			
	AH	4,830,003	05/16/1989	Wolff et al.			
	AI	4,856,516	08/15/1989	Hillstead			
	AJ	4,922,905	05/08/1990	Strecke			
	AK	4,950,227	08/21/1990	Savin et al.			
	AL	4,950,258	08/21/1990	Kawai et al.			
	AM	4,994,071	02/19/1991	MacGregor			
	AN	5,015,253	05/14/1991	MacGregor			
	AO	5,037,392	08/06/1991	Hillstead			
	AP	5,064,435	11/12/1991	Porter			
	AQ	5,092,877	03/03/1992	Pinchuk			
	AR	5,104,399	04/14/1992	Lazarus			
	AS	5,108,415	04/28/1992	Pinchuk et al.			
	AT	5,108,417	04/28/1992	Sawyer			
	AU	5,122,154	06/16/1992	Rhodes			
	AV	5,139,480	08/18/1992	Hickle et al.			
	AW	5,147,385	09/15/1992	Beck et al.			
	AX	5,147,400	09/15/1992	Kaplan et al.			
	AY	5,158,548	10/27/1992	Lau et al.			

EXAMINER

DATE CONSIDERED

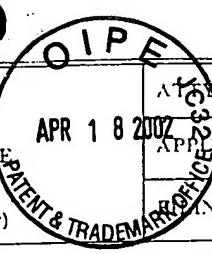
EXAMINER: Initial citation considered. Draw line through citation if not in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

INFORMATION DISCLOSURE  
STATEMENT  
(Use several sheets if necessary)

APPLICANT: Brian J. Brown, Michael L. Davis

FILING DATE: August 3, 1995

Group: 3308



## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER'S INIT.		PATENT NUMBER	ISSUE DATE	PATENTEE	CLASS	Subclass	FILING DATE IF APPROPRIATE
	AA	5,217,483	06/08/1993	Tower			
	AB	5,163,982	11/17/1992	Froix			
	AC	5,226,913	07/13/1993	Pinchuk			
	AD	5,282,824	02/01/1994	Gianurco			
	AE	5,344,425	09/06/1994	Sawyer			
	AF	5,354,308	10/11/1994	Simon et al.			RECEIVED APR 23 2002 TECHNOLOGY CENTER R3700
	AG	5,354,309	10/11/1994	Schnepp-Pesch et al.			
	AII	5,383,892	01/24/1995	Cardon et al.			
	AI	5,405,377	04/11/1995	Cragg			
	AJ	2,836,181	05/27/1958	J.S. Tapp			
	AK	3,509,883	05/05/1970	Dibelius			
	AL	3,526,228	09/01/1970	Lyng			
	AM	4,300,244	11/17/1981	Bokros			
	AN	4,319,363	03/16/1982	Ketharanathan			
	AO	4,441,215	04/10/1984	Kaster			
	AP	4,470,407	09/11/1984	Illussein			
	AQ	4,550,447	11/05/1985	Seiler, Jr. et al.			
	AR	4,740,207	04/26/1988	Kreamer			
	AS	4,760,849	08/02/1988	Kropf			
	AT	4,762,128	08/09/1988	Rosenbluth			
	AU	4,771,773	09/20/1988	Kropf			
	AV	4,795,458	01/03/1989	Regan			
	AW	4,820,298	04/11/1989	Leveen et al.			
	AX	4,877,030	10/31/1989	Beck et al.			
	AY	3,868,956	04/04/1975	Alfidi et al.			

## DATE CONSIDERED

## EXAMINER

EXAMINER: Initial citation considered. Draw line through citation if not in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449 (Modified)

CITY DOCKET NO: S63.2-5605

Serial No: 08/511,076

INFORMATION DISCLOSURE  
STATEMENT  
(Use several sheets if necessary)

APR 18 2002

APPLICANT: Brian J. Brown, Michael L. Davis

PATENT &amp; TRADEMARK OFFICE

FILING DATE: August 3, 1995

Group: 3308

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER'S INT'L.		PATENT NUMBER	ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	4,140,126	02/20/1979	Choudhury			
	AB	4,503,569	03/12/1985	Dorfer			
	AC	4,512,338	04/23/1985	Balko et al.			
	AD	4,553,545	11/19/1985	Maass et al.			
	AE	4,560,374	12/24/1985	Hammerslag			
	AF	4,647,416	03/03/1987	Seiter, Jr. et al.			
	AG	4,649,922	03/17/1987	Wiktor			
	AH	4,655,771	04/07/1987	Wallsten			
	AI	4,665,918	05/19/1987	Garza et al.			
	AJ	4,795,458	01/03/1989	Regan			
	AK	4,800,882	01/31/1989	Gianturco			
	AL	4,848,343	07/18/1989	Wallsten et al.			
	AM	4,872,874	10/10/1989	Taheri			
	AN	4,878,906	11/07/1989	Lindemann et al.			
	AO	3,105,492	10/01/1963	Jeckel			
	AP	3,272,204	09/13/1966	Artandi et al.			
	AQ	3,490,975	01/20/1970	Lightwood et al.			
	AR	3,562,820	02/16/1971	Brun			
	AS	3,635,215	01/18/1972	Shea et al.			
	AT	3,771,526	11/13/1973	Rudle			
	AU	3,993,078	11/23/1976	Bergentz et al.			
	AV	4,078,167	03/07/1978	Bandas et al.			
	AW	4,127,761	11/28/1978	Pauley et al.			
	AX	4,130,904	12/26/1978	Whalen			
	AY	4,164,045	09/14/1979	Bokros et al.			

EXAMINER

DATE CONSIDERED

EXAMINER: Initial citation considered. Draw line through citation if not in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Page 5 of 1

INFORMATION DISCLOSURE  
STATEMENT  
(Use several sheets if necessary)

APR 18 2002

APPLICANT: Brian J. Brown, Michael L. Davis

FILING DATE: August 3, 1995

Group: 3308

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER'S INIT.		PATENT NUMBER	ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	4,214,587	07/29/1980	Sakura, Jr.			
	AB	4,313,231	02/02/1982	Koyamada			
	AC	4,425,908	01/17/1984	Simon			
	AD	4,501,264	02/26/1985	Rockey			
	AE	4,535,770	08/20/1985	Lemole			
	AF	4,580,568	04/08/1986	Gianurco			
	AG	4,597,389	07/01/1986	Ibrahim et al.			
	AH	4,655,776	04/07/1987	Lesinski			
	AI	4,795,458	01/03/1989	Regan			
	AJ	4,795,465	01/03/1989	Marten			
	AK	4,842,575	06/27/1989	Hoffman, Jr. et al.			
	AL	4,851,009	07/25/1989	Pinchuk			
	AM						
	AN						
	AO						
	AP						
	AQ						
	AR						
	AS						
	AT						
	AU						
	AV						
	AW						
	AX						
	AY						

## DATE CONSIDERED

EXAMINER

EXAMINER: Initial citation considered. Draw line through citation if not in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449 (Modified)

ATTY DOCKET NO: S63.2-5605

Serial No: 08/511,076

INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT  
(Use several sheets if necessary)

APR 18 2002

APPLICANT: Brian J. Brown, Michael L. Davis

FILING DATE: August 3, 1995

Group: 3308

## OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

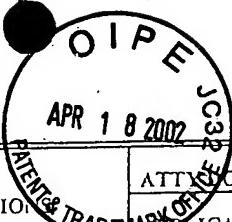
CA	<i>Improved Dilation Catheter Balloons</i> , by Stanley B. Levy, Ph.D., <u>JOURNAL OF CLINICAL ENGINEERING</u> , Vol. 11, No. 4, July-August 1986, pp. 291-296.
CB	<i>Self-expanding Stainless Steel Biliary Stents</i> <sup>1</sup> , By Harold G. Coons, MD, <u>RADIOLOGY</u> 1989, Vol. 170, No. 3, Part 2, pp. 979-983.
CC	Technical Note Entitled <i>Modifications of Gianturco Expandable Wire Stents</i> , By Barry T. Uchida et al., <u>AJR</u> , Vol. 150, May 1988, pp. 1185-1187.
CD	Brochure from Cook Incorporated regarding Giannucco-Rosch Biliary Z-Stents <sup>1</sup> .
CE	<i>Expandable Biliary Endoprosthesis: An Experimental Study</i> , By Carrasco et al., <u>AJR</u> , Vol. 145, December 1985, pp. 1279-1282.
CF	<i>Gianturco Expandable Metallic Biliary Stents: Results of a European Clinical Trial</i> <sup>1</sup> , By Irving J. Stein, <u>Journal of Vascular Radiology</u> , Vol. 172, No. 2, August 1989, pp. 321-326.
CG	<i>Tracheobronchial Tree: Expandable Metallic Stents Used in Experimental and Clinical Work In Progress</i> , By Wallace et al., <u>RADIOLOGY</u> , February 1986, pp. 309-312.
CH	Brochure Entitled <i>AVE MICRO STENT</i> <sup>1</sup> , Instructions for Use, By Applied Fascular Engineering, Inc., pp. 1-15.
CI	Brochure Entitled <i>MICRO STENT</i> <sup>1</sup> , By Applied Vascular Engineering, Inc.
CJ	
CK	
CL	
CM	
CN	
CO	
CP	
CQ	

EXAMINER

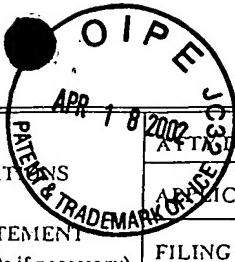
DATE CONSIDERED

EXAMINER: Initial citation considered. Draw line through citation if not in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Page 7 of 2



FORM PTO-1449 (Modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)		ATTY/DOCKET NO.: S63.2-6769 LICANT: Brian J. Brown et al.		SERIAL NO.: 09/197,278	
		FILING DATE: November 20, 1998		GROUP: 3738	
REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS			
EXAMINER'S INIT.	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS
	AA				RECEIVED APR 23 2002 TECHNOLOGY CENTER R3700
	AB				
	AC				
	AD				
	AE				
	AF				
	AG				
	AH				
	AI				
	AJ				
	AK				
	AL				
FOREIGN PATENT DOCUMENTS					
	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS
	BA 298 16 878 U1	12/24/98	DE		
	BB				
	BC				
	BD				
	BE				
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)					
CA					
CB					
CC					
EXAMINER		DATE CONSIDERED			
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.					



FORM PTO-1449 (Modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)			ATTY DOCKET NO.: S63.2-6769	SERIAL NO.: 09/197,278
			APPLICANT: Brian J. Brown et al.	
			FILING DATE: November 20, 1998	GROUP: 3738

REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS			CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
EXAMINER'S INIT.	DOCUMENT NUMBER	DATE	NAME				
AA	5,911,754	06/15/99	Kanesaka et al.	623	I		
AB	5,922,021	07/13/99	Jang	623	I		
AC	5,948,016	09/07/99	Jang	623	I		
AD	5,954,743	09/21/99	Jang	606	198		
AE							
AF							
AG							
AH							
AI							
AJ							
AK							
AL							

RECEIVED

APR 23 2002

TECHNOLOGY CENTER R3700

FOREIGN PATENT DOCUMENTS					CLASS	SUBCLASS	TRANSLATION	
		DOCUMENT NUMBER	DATE	COUNTRY			YES	NO
	BA							
	BB							
	BC							
	BD							
	BE							

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	CA							
	CB							
	CC							

EXAMINER	DATE CONSIDERED
----------	-----------------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449 (Modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)				ACTY DOCKET NO.: S63.2-6769		SERIAL NO.: 09/197,278	
				APPLICANT: Brian J. Brown et al.			
				FILING DATE: November 20, 1998		GROUP: 3731	
REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS					
EXAMINER'S INIT.	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						
	AL						
FOREIGN PATENT DOCUMENTS							
	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
	BA 96/26689	9/6/96	WO			YES	NO
	BB 98/20810	5/22/98	WO				
	BC 297 16 476 UI	2/5/98	DE				
	BD 0 876 806 A1	11/11/98	EP				
	BE						
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)							
	CA						
	CB						
	CC						
EXAMINER			DATE CONSIDERED				

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



Notice of References Cited		Application No. 09/197,278	Applicant(s) Brown et al.
		Examiner Lien Ngo	Group Art Unit 3731
			Page 1 of 1

U.S. PATENT DOCUMENTS

	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS
A	5,800,521	9/1998	Orth	623	1
B	6,017,365	9/1998	Von Oepen	623	1
C					
D					
E					
F					
G					
H					
I					
J					
K					
L					
M					

RECEIVED

APR 23 2002

TECHNOLOGY CENTER R3700

FOREIGN PATENT DOCUMENTS

	DOCUMENT NO.	DATE	COUNTRY	NAME	CLASS	SUBCLASS
N						
O						
P						
Q						
R						
S						
T						

NON-PATENT DOCUMENTS

	DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
U		
V		
W		
X		



<b>Modified Form 1449 UNPUBLISHED US APPLICATIONS NOT RELATED BY PRIORITY (COPIES ENCLOSED)</b>	ATTY DOCKET NO.:	APPLICATION NO.	
	APPLICANT: FILING DATE:	GROUP:	
<b>UNPUBLISHED US APPLICATIONS NOT RELATED BY PRIORITY</b>			
EXAM'S INIT	APPLICATION NO.	FILING DATE	INVENTOR(S)
DA			
DB			
DC			
DD			
DE			
DF			
EXAMINER	DATE CONSIDERED		
EXAMINER: Initial if application considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.			

<b>Modified Form 1449 US APPLICATIONS RELATED BY PRIORITY (COPIES NOT ENCLOSED)</b>	ATTY DOCKET NO.: S63.2-10106	APPLICATION NO. 10/042,634			
	APPLICANT: Tom Girton et al. FILING DATE: January , 2002	GROUP: 3731			
<b>US APPLICATIONS RELATED BY PRIORITY</b>					
EXAM'S INIT	APPLICATION NO.	FILING DATE	PATENT NO.	INVENTOR(S)	FORM 1449/892 ENC
EA	09/957983	09/21/2001		Timothy Girton et al.	Y
EB	60/234548	09/22/2000		Timothy Girton et al.	Y
EC	60/272651	03/01/2001		Timothy Girton et al.	Y
ED	60/272906	03/01/2001		Timothy Girton et al.	Y
EE					
EF					
EG					